

Please type a plus (+) sign in this box ☐

10-24-00
Approved for use through 09/30/2000. OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**UTILITY
PATENT APPLICATION
TRANSMITTAL**

For new non-provisional applications under 37 C.F.R. § 1.53(B)

Attorney Docket No. S16.12-0101
First Inventor or Application Identifier Stephen T. Kuehn
Title MITRAL AND TRICUSPID VALVE REPAIR
Express Mail Label No. EL636050420US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

Address To: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ *Fee Transmittal Form e.g., PTO/SB17)
(Submit an original and a duplicate for fee processing)
2. ☒ Specification [Total Sheets **39**]
(preferred arrangement set forth below)
- Descriptive title of the invention
- Cross References to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to Microfiche Appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure
3. ☒ Drawing(s) (35 U.S.C. § 113) [Total Sheets **14**]
4. Oath or Declaration [Total Sheets **3**]
a. ☒ Newly executed (original or copy)
b. ☐ Copy from a prior application (37 C.F.R. § 1.63(d))
(for continuation/divisional with Box 16 completed)
i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§1.63(d)(2) and 1.33(b).

5. ☐ Microfiche Computer Program (Appendix)
6. ☐ Nucleotide and/or Amino Acid Sequence Submission
(If applicable, all necessary)
a. ☐ Computer Readable Copy
b. ☐ Paper Copy (Identical to computer copy)
c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

7. ☐ Assignment Papers (cover sheet & document(s))
8. ☐ 37 C.F.R. § 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
9. ☐ English Translation Document
10. ☐ Information Disclosure Statement (IDS/PTO - PTO) ☐ Copies of IDS
11. ☐ Preliminary Amendment
12. ☒ Return Receipt Postcard (MPEP 503)
13. ☐ *Small Entity ☐ Statement filed in prior application. Status still proper and desired (PTO/SB/09-12)
14. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
15. ☒ Other: Check in the amount of \$1,002.00 in payment of filing fee.

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☐ Continuation ☐ Divisional ☒ Continuation -in part (CIP) of prior application No: 09/115,820

Prior application information: Examiner A. King Group/Art Unit: 3731

FOR CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE

☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☒ Correspondence address below

Name Peter S. Dardi, Ph.D.
WESTMAN CHAMPLIN & KELLY
Address Suite 1600 - International Centre
900 South Second Avenue
City Minneapolis State MN Zip Code 55402-3319
Country USA Telephone (612) 334-3222 Fax (612) 334-3312

Name (Print/type) Peter S. Dardi, Ph.D. Registration No. (Attorney/Agent) 39,650
Signature *Peter S. Dardi* Date 10/23/00

FEE TRANSMITTAL		Complete if Known																																																																																																																																			
		Application No.	S16.12-0101																																																																																																																																		
		Filing Date	October 23, 2000																																																																																																																																		
		First Named Inventor	Stephen T. Kuehn																																																																																																																																		
		Title	MITRAL AND TRICUSPID VALVE REPAIR																																																																																																																																		
		Group Art Unit																																																																																																																																			
		Examiner Name																																																																																																																																			
Total Amount of Payment \$ <u>1,002.00</u>		Atty. Docket Number	S16.12-0101																																																																																																																																		
METHOD OF PAYMENT (Check One)		FEE CALCULATION (Continued)																																																																																																																																			
<p>1. <input checked="" type="checkbox"/> The Director is hereby authorized to charge any additional fee required under 37 C.F.R. § 1.16 and 1.17, including any petition fee, and credit any over payments to Deposit Account No. <u>23-1123</u>. Westman, Champlin & Kelly, P.A.</p> <p>2. <input checked="" type="checkbox"/> Check Enclosed</p>		<p>3. ADDITIONAL FEES</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th colspan="2">Large Entity</th> <th colspan="2">Small Entity</th> <th rowspan="2">Fee Description</th> <th rowspan="2">Fee Paid</th> </tr> <tr> <th>Fee Code</th> <th>Fee (\$)</th> <th>Fee Code</th> <th>Fee (\$)</th> </tr> </thead> <tbody> <tr> <td>105</td> <td>130</td> <td>205</td> <td>65</td> <td>Surcharge - Late filing fee or oath</td> <td></td> </tr> <tr> <td>127</td> <td>50</td> <td>227</td> <td>25</td> <td>Surcharge - Late provisional Filing Fee or cover sheet</td> <td></td> </tr> <tr> <td>139</td> <td>130</td> <td>139</td> <td>130</td> <td>Non-English specification</td> <td></td> </tr> <tr> <td>147</td> <td>2,520</td> <td>147</td> <td>2,520</td> <td>For Filing a Request for Reexamination</td> <td></td> </tr> <tr> <td>115</td> <td>110</td> <td>215</td> <td>55</td> <td>Extension for reply within first month</td> <td></td> </tr> <tr> <td>116</td> <td>380</td> <td>216</td> <td>190</td> <td>Extension for reply within second month</td> <td></td> </tr> <tr> <td>117</td> <td>870</td> <td>217</td> <td>435</td> <td>Extension for reply within third month</td> <td></td> </tr> <tr> <td>118</td> <td>1,360</td> <td>218</td> <td>680</td> <td>Extension for reply within fourth month</td> <td></td> </tr> <tr> <td>128</td> <td>1,850</td> <td>280</td> <td>925</td> <td>Extension for reply within fifth month</td> <td></td> </tr> <tr> <td>120</td> <td>300</td> <td>220</td> <td>150</td> <td>Filing a brief in support of an appeal</td> <td></td> </tr> <tr> <td>121</td> <td>260</td> <td>221</td> <td>130</td> <td>Request for oral hearing</td> <td></td> </tr> <tr> <td>148</td> <td>110</td> <td>248</td> <td>55</td> <td>Terminal Disclaimer Fee</td> <td></td> </tr> <tr> <td>140</td> <td>110</td> <td>240</td> <td>55</td> <td>Petition to Revive - unavoidable</td> <td></td> </tr> <tr> <td>141</td> <td>1,210</td> <td>241</td> <td>605</td> <td>Petition to Revive - unintentional</td> <td></td> </tr> <tr> <td>142</td> <td>1,240</td> <td>242</td> <td>635</td> <td>Utility/Reissue issue fee (inc. advance copies)</td> <td></td> </tr> <tr> <td>143</td> <td>460</td> <td>243</td> <td>245</td> <td>Design issue fee (inc. advance copies)</td> <td></td> </tr> <tr> <td>122</td> <td>130</td> <td>122</td> <td>130</td> <td>Petitions to the Commissioner</td> <td></td> </tr> <tr> <td>123</td> <td>50</td> <td>123</td> <td>50</td> <td>Petitions related to provisional applications</td> <td></td> </tr> <tr> <td>126</td> <td>240</td> <td>126</td> <td>240</td> <td>Submission of Information Disclosure Statement</td> <td></td> </tr> <tr> <td>581</td> <td>40</td> <td>581</td> <td>40</td> <td>Recording each patent assignment per property (times number of properties)</td> <td></td> </tr> </tbody> </table>		Large Entity		Small Entity		Fee Description	Fee Paid	Fee Code	Fee (\$)	Fee Code	Fee (\$)	105	130	205	65	Surcharge - Late filing fee or oath		127	50	227	25	Surcharge - Late provisional Filing Fee or cover sheet		139	130	139	130	Non-English specification		147	2,520	147	2,520	For Filing a Request for Reexamination		115	110	215	55	Extension for reply within first month		116	380	216	190	Extension for reply within second month		117	870	217	435	Extension for reply within third month		118	1,360	218	680	Extension for reply within fourth month		128	1,850	280	925	Extension for reply within fifth month		120	300	220	150	Filing a brief in support of an appeal		121	260	221	130	Request for oral hearing		148	110	248	55	Terminal Disclaimer Fee		140	110	240	55	Petition to Revive - unavoidable		141	1,210	241	605	Petition to Revive - unintentional		142	1,240	242	635	Utility/Reissue issue fee (inc. advance copies)		143	460	243	245	Design issue fee (inc. advance copies)		122	130	122	130	Petitions to the Commissioner		123	50	123	50	Petitions related to provisional applications		126	240	126	240	Submission of Information Disclosure Statement		581	40	581	40	Recording each patent assignment per property (times number of properties)	
Large Entity		Small Entity		Fee Description	Fee Paid																																																																																																																																
Fee Code	Fee (\$)	Fee Code	Fee (\$)																																																																																																																																		
105	130	205	65	Surcharge - Late filing fee or oath																																																																																																																																	
127	50	227	25	Surcharge - Late provisional Filing Fee or cover sheet																																																																																																																																	
139	130	139	130	Non-English specification																																																																																																																																	
147	2,520	147	2,520	For Filing a Request for Reexamination																																																																																																																																	
115	110	215	55	Extension for reply within first month																																																																																																																																	
116	380	216	190	Extension for reply within second month																																																																																																																																	
117	870	217	435	Extension for reply within third month																																																																																																																																	
118	1,360	218	680	Extension for reply within fourth month																																																																																																																																	
128	1,850	280	925	Extension for reply within fifth month																																																																																																																																	
120	300	220	150	Filing a brief in support of an appeal																																																																																																																																	
121	260	221	130	Request for oral hearing																																																																																																																																	
148	110	248	55	Terminal Disclaimer Fee																																																																																																																																	
140	110	240	55	Petition to Revive - unavoidable																																																																																																																																	
141	1,210	241	605	Petition to Revive - unintentional																																																																																																																																	
142	1,240	242	635	Utility/Reissue issue fee (inc. advance copies)																																																																																																																																	
143	460	243	245	Design issue fee (inc. advance copies)																																																																																																																																	
122	130	122	130	Petitions to the Commissioner																																																																																																																																	
123	50	123	50	Petitions related to provisional applications																																																																																																																																	
126	240	126	240	Submission of Information Disclosure Statement																																																																																																																																	
581	40	581	40	Recording each patent assignment per property (times number of properties)																																																																																																																																	
<p>1. BASIC FILING FEE</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th colspan="2">Large Entity</th> <th colspan="2">Small Entity</th> <th rowspan="2">Fee Description</th> </tr> <tr> <th>Fee Code</th> <th>Fee (\$)</th> <th>Fee Code</th> <th>Fee (\$)</th> </tr> </thead> <tbody> <tr> <td>101</td> <td>690</td> <td>201</td> <td>345</td> <td><input type="checkbox"/> Utility Filing Fee</td> </tr> <tr> <td>106</td> <td>310</td> <td>206</td> <td>155</td> <td><input type="checkbox"/> Design Filing Fee</td> </tr> <tr> <td>108</td> <td>690</td> <td>208</td> <td>345</td> <td><input type="checkbox"/> Reissue Filing Fee</td> </tr> <tr> <td>114</td> <td>150</td> <td>214</td> <td>75</td> <td><input type="checkbox"/> Prov. Filing Fee</td> </tr> <tr> <td colspan="5" style="text-align: right;">Subtotal (1) \$ 690.00</td> </tr> </tbody> </table>		Large Entity		Small Entity		Fee Description	Fee Code	Fee (\$)	Fee Code	Fee (\$)	101	690	201	345	<input type="checkbox"/> Utility Filing Fee	106	310	206	155	<input type="checkbox"/> Design Filing Fee	108	690	208	345	<input type="checkbox"/> Reissue Filing Fee	114	150	214	75	<input type="checkbox"/> Prov. Filing Fee	Subtotal (1) \$ 690.00					<p>2. EXTRA CLAIM FEES</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th></th> <th>Number Claims</th> <th>Prior**</th> <th>Extra</th> <th>Fee from Below</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>Total</td> <td>33</td> <td></td> <td>13</td> <td>\$18</td> <td>\$234</td> </tr> <tr> <td>Indep.</td> <td>4</td> <td></td> <td>1</td> <td>\$78</td> <td>\$78</td> </tr> </tbody> </table> <p>Multiple Dependent Claims</p> <p>** Insert 3 and 20, or number previously paid if greater; Reissue see below</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th colspan="2">Large Entity</th> <th colspan="2">Small Entity</th> <th rowspan="2">Description</th> </tr> <tr> <th>Fee Code</th> <th>Fee (\$)</th> <th>Fee Code</th> <th>Fee (\$)</th> </tr> </thead> <tbody> <tr> <td>103</td> <td>18</td> <td>203</td> <td>9</td> <td>Claims in excess of 20</td> </tr> <tr> <td>102</td> <td>78</td> <td>202</td> <td>39</td> <td>Independent claims in excess of 3</td> </tr> <tr> <td>104</td> <td>260</td> <td>204</td> <td>130</td> <td>Multiple Dependent Claims</td> </tr> <tr> <td>109</td> <td>78</td> <td>209</td> <td>39</td> <td>Reissue Independent Claims over Original Patent</td> </tr> <tr> <td>110</td> <td>18</td> <td>210</td> <td>9</td> <td>Reissue claims in excess of 20 and over original patent</td> </tr> <tr> <td colspan="5" style="text-align: right;">Subtotal (2) \$ 1,002.00</td> </tr> </tbody> </table>			Number Claims	Prior**	Extra	Fee from Below	Fee Paid	Total	33		13	\$18	\$234	Indep.	4		1	\$78	\$78	Large Entity		Small Entity		Description	Fee Code	Fee (\$)	Fee Code	Fee (\$)	103	18	203	9	Claims in excess of 20	102	78	202	39	Independent claims in excess of 3	104	260	204	130	Multiple Dependent Claims	109	78	209	39	Reissue Independent Claims over Original Patent	110	18	210	9	Reissue claims in excess of 20 and over original patent	Subtotal (2) \$ 1,002.00																																											
Large Entity		Small Entity		Fee Description																																																																																																																																	
Fee Code	Fee (\$)	Fee Code	Fee (\$)																																																																																																																																		
101	690	201	345	<input type="checkbox"/> Utility Filing Fee																																																																																																																																	
106	310	206	155	<input type="checkbox"/> Design Filing Fee																																																																																																																																	
108	690	208	345	<input type="checkbox"/> Reissue Filing Fee																																																																																																																																	
114	150	214	75	<input type="checkbox"/> Prov. Filing Fee																																																																																																																																	
Subtotal (1) \$ 690.00																																																																																																																																					
	Number Claims	Prior**	Extra	Fee from Below	Fee Paid																																																																																																																																
Total	33		13	\$18	\$234																																																																																																																																
Indep.	4		1	\$78	\$78																																																																																																																																
Large Entity		Small Entity		Description																																																																																																																																	
Fee Code	Fee (\$)	Fee Code	Fee (\$)																																																																																																																																		
103	18	203	9	Claims in excess of 20																																																																																																																																	
102	78	202	39	Independent claims in excess of 3																																																																																																																																	
104	260	204	130	Multiple Dependent Claims																																																																																																																																	
109	78	209	39	Reissue Independent Claims over Original Patent																																																																																																																																	
110	18	210	9	Reissue claims in excess of 20 and over original patent																																																																																																																																	
Subtotal (2) \$ 1,002.00																																																																																																																																					
		Subtotal (3) \$ _____																																																																																																																																			

Signature Robert S. Dardi
(---)

Reg. No. 39,650

Date October 23, 2000

Deposit Account No. 23-1123